

Date

Provider
Agency
Street Address
City

Dear

The IMPACT Program of the Division of Family and Children will begin its contract monitoring process with an entrance conference at the _____ County Office of Family and Children. The IMPACT staff who will perform the monitoring and I request your attendance at this entrance conference which is scheduled for _____ at _____. We suggest that you assign one staff person as a contact person for the monitoring team, and that this individual, any other staff you wish to include, and you attend the entrance conference.

The IMPACT monitoring team will use the following sources of information for conducting the reviews:

- Provider contract
- IMPACT reports
- Client's records (Contractor and LOFC)
- IMPACT financial files and reports including claims and billing documents (Contractor and LOFC)
- Staff interviews
- Client interviews
- Management discussions

This information will be used to identify existing problems, potential problems, program status, and accomplishments. Analysis of this information could indicate the need for a special monitoring to resolve or prevent a problem.

Monitoring may include the following areas:

- Timely progress in activities
- Financial accuracy
- Referral process
- Provider/LOFC communication
- Job placement performance
- Subcontracting
- Community coordination
- Program compliance

- Innovations
- Contractor staffing
- Client/employer relations

MONITORING LETTERS: Following the monitoring visit, you will receive a letter from me summarizing the findings. All conclusions will be supported by the facts stated in the letter or its attachments. Areas in which the provider has done well, or has shown improvement, will also be noted.

The summary letter will highlight specific performance deficiencies that have resulted in, or are likely to result in, contract compliance problems if the deficiency(ies) are not corrected.

- **Findings and Concerns:** Deficiencies involving findings of noncompliance and non-performance will require corrective action. While lesser deficiencies may not require corrective action, they should still be treated as major concerns and addressed appropriately.
- **Corrective Action:** Corrective actions are designed to (1) prevent a continuation of the deficiency, (2) mitigate any adverse effects or consequences of the deficiency to the extent possible under the circumstances, and (3) prevent a recurrence of the same or similar deficiency. When there are a number of possible solutions for resolving a deficiency, discussions between the provider and the Local Office Director should determine which solution is preferable.
- **Summary of Monitoring Findings will include:**
 - Results and conclusions for each specific area of the review and the operation as a whole supported by the facts considered in reaching the conclusions.
 - Specific corrective action(s), if any, required for each finding, or recommended for each concern. If deficiencies were resolved on-site, it will be so stated.
 - Due date of corrective action for each finding.
 - Request that the provider notify the Local Office Director and the monitor when the corrective action(s) has been taken.
 - When appropriate, an offer of technical assistance or an indication that technical assistance was provided on-site.
- A summary letter of the findings will be mailed generally within 15 business days following the conclusion of the monitoring visit unless several providers are monitored in a single visit. The period between the last day of the visit and the date of the summary letter will not exceed 30 calendar days.

FOLLOW-UP ACTION:

- If the provider has not initiated corrective action, or has not notified the Local Office Director that corrective action has been initiated within 30 calendar days after the due date for the required corrective action, a letter from the

IMPACT Program Manager will inform the provider of the possible consequences of failure to comply as provided under the contract details.

- When the provider's response is received, the Local Office Director, Regional Manager and the IMPACT monitoring staff will review the proposed corrective action, or any action taken, within 15 calendar days. If the review indicates that the action was unsatisfactory, a letter will be sent to the provider specifying the additional action that is needed, and the due date for completion of such action.
- If the provider shows good cause for failing to resolve the findings, or complete the corrective action by the due date, a new due date may be established subject to good faith efforts by the provider. A follow-up visit may be necessary to verify corrective action or to provide technical assistance when the provider has been unable to resolve or correct the findings.

CLOSING MONITORING FINDINGS: When the IMPACT monitoring staff indicates that the provider has made satisfactory corrective action, the provider will receive a letter stating that the findings have been resolved.

SANCTIONS: If the follow-up concludes that the provider has not conducted satisfactory corrective action, the IMPACT Program Central Office Administration may de-obligate the balance of the unexpended funds, modify the contract, or terminate the contract.

The contract monitoring process should be viewed as a management tool through which the Local Office of Family and Children and the IMPACT contractor can further refine the services provided to our customers. We look forward to meeting with you.

Sincerely,

John Smith, Director
BLANK County Office of Family and Children

cc: Regional Manager
IMPACT Program Manager
IMPACT Consultant(s)